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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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09/810,446

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Noritaka Koyama

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EXAMINER

KLINGER, SCOTT M

ART UNIT

PAPER NUMBER

2153

DATE MAILED: 07/01/2004

4

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

Application No.

09/810,446

Applicant(s)

KOYAMA, NORITAKA

Examiner

Scott M. Klinger

Art Unit

2153

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 19 March 2001.  
2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.  
3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-9 is/are pending in the application.  
4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.  
5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.  
6) ☒ Claim(s) 1-9 is/are rejected.  
7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.  
8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.  
10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).  
11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a) ☐ All b) ☐ Some \* c) ☐ None of:  
1. ☒ Certified copies of the priority documents have been received.  
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.  
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- 1) ☒ Notice of References Cited (PTO-892)  
2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)  
3) ☒ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date 3.  
4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_.  
5) ☐ Notice of Informal Patent Application (PTO-152)  
6) ☐ Other: \_\_\_\_\_.

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### **DETAILED ACTION**

Claims 1-9 are pending

#### ***Priority***

A claim for foreign priority has been made. Receipt is acknowledged of papers submitted under 35 U.S.C. 119(a)-(d), which papers have been placed of record in the file. The effective filing date for subject matter in the application is 3 June 2000.

#### ***Claim Rejections - 35 USC § 112***

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

Claim 8 is rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention. It is unclear to the examiner what the phrase "accordance with notification of said change from said principal information managerial section" means.

#### ***Claim Rejections - 35 USC § 102***

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

Claims 1-3, 5, 6, and 9 are rejected under 35 U.S.C. 102(b) as being anticipated by Wobber et al. (U.S. Patent Number 5,235,642, hereinafter "Wobber"). Wobber discloses an access

control subsystem and method for distributed computer system using locally cached authentication credentials. Wobber shows,

In referring to claim 1,

- A principal information storing section to store information about each of said plurality of principals:

*"The computer at each node of the distributed system has a trusted computing base that includes an authentication agent for authenticating requests received from principals at other nodes in the system"* (Wobber, col. 1, lines 55-58)

- An object information storing section to store information about each of a plurality of said objects:

*"A further optimization is that the server process local cache is used to store a list of the object access control list entries previously satisfied by each requester, thereby enabling the server process to expedite granting access to previously accessed objects."* (Wobber, col. 2, lines 18-22)

- An application section to retrieve said object corresponding to said one principal by combining a plurality of pieces of information stored in said principal information storing section with a plurality of pieces of information stored in said object information storing section and by referring to said combined information and to supply said retrieved object to said one principal:

*"When a request is received, the server checks the request's first and second identifiers against the entries in its local cache. If there is a match, then the request is known to be authentic, without having to obtain authentication credentials from the requester's node, because the authentication agents guarantee authenticity of such request messages."* (Wobber, col. 1, line 66 – col. 2, line 4)

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In referring to claim 2,

- Said object supplying device is a distributed processing device in a distributed processing system including a network and said distributed processing device being connected to said network:

*“The present invention relates generally to controlling access to computer resources in a distributed computer system, and particularly to apparatus and methods for making such access control systems more efficient by locally caching in each computer authentication credentials for principals requesting use of that computer's resources.”* (Wobber, col. 1, lines 7-13)

In referring to claim 3,

- Said distributed processing system includes said distributed processing device operating as a server:

*“Requests are transmitted to servers as messages that include a first identifier (called an Auth ID) provided by the requester and a second identifier provided (called the subchannel value) by the authentication agent of the requester node.”* (Wobber, col. 1, lines 59-63)

- A plurality of client units being connectable to said server through said network and wherein said principal is any one of said client units, a user using said client unit and an object contained in said client unit:

*“A principal is herein defined to be the source of a request or assertion. Typically, one thinks of a principal as a person, or a machine acting on behalf of a person. However, processes many layers removed from human direction, such as those in a transaction processing system, can also be principals.”* (Wobber, col. 4, lines 15-20)

In referring to claim 5,

- A receiving section to receive, from said principal, information about authentication needed to authenticate one principal and an authenticating section to authenticate said one

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principal based on said authentication information received by said receiving section and by referring to said information stored in said principal information storing section:

*"If the identifier in a request message does not match any of the entries in the server's local cache, then the server node's authentication agent is called to obtain authentication credentials from the requester's node to authenticate the request message. Upon receiving the required credentials from the requester node's authentication agent, the principal identifier of the requester and the received credentials are stored in a local cache by the server node's authentication agent."* (Wobber, col. 2, lines 5-17)

- Said application section, when said one principal is authenticated by said authenticating section to be an authorized principal, performs retrieval and supply of said object:

*"Each object 136 includes an Access Control List (ACL) 138 which defines the set of "principals" who are authorized to access the object 136."* (Wobber, col. 4, lines 27-30)

In referring to claim 6,

- Said application section, when being requested by said one principal to supply an object, performs retrieval and supply of said object:

*Wobber, col. 4, lines 27-30 (see full quote above)*

In referring to claim 9,

- Combination of said information stored in said principal information storing section with said information stored in said object information storing section is defined by a predetermined matching rule:

*Wobber, col. 4, lines 27-30 (see full quote above)*

### ***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

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(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claim 4 is rejected under 35 U.S.C. 103(a) as being unpatentable over Wobber in view of Moriya et al. (U.S. Patent Number 6108790, hereinafter "Moriya"). Although Wobber shows substantial features of the claimed invention, Wobber does not show a portable terminal as the client. Nonetheless this feature is well known in the art and would have been an obvious modification to the system disclosed by Wobber as evidenced by Moriya.

In analogous art, Moriya discloses an authentication system using a network. Moriya shows the distributed processing system is a portable communication system provided with a portable communication terminal and wherein said client unit constituting said principal is said portable communication terminal: *"Each of the communication terminals 1-1 through 1-n is a computer connected to a modem, a terminal adapter, or the like, or a portable electronic device such as a PDA (Personal Data Assistance)."* (Moriya, col. 3, lines 60-63)

Given these teachings, a person of ordinary skill in the art would have readily recognized the desirability and advantages of modifying the system of Wobber so as to use a portable terminal as the client, such as taught by Moriya, in order to allow portable devices to access the system.

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Claim 7 is rejected under 35 U.S.C. 103(a) as being unpatentable over Wobber. Although Wobber shows substantial features of the claimed invention, including the system of claim 1 (see 102 rejection above), Wobber is silent as to what happens when principal information is updated. Wobber does not explicitly show notifying a change in principal information to any service requesting such a notification. Nonetheless this feature is well known in the art and would have been an obvious implementation of the system disclosed by Wobber.

The purpose of the system of Wobber is to control access to objects. If a specific principle's access level changes (or is disabled) it would be inherent in such a system to update any records of the principle stored locally on the network nodes.

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A person of ordinary skill in the art would have readily recognized the desirability and advantages of implementing the system of Wobber so as to provide notifications to other nodes and services of the updated information of principles, to prevent unauthorized principles from accessing objects.

### *Conclusion*


Any inquiry concerning this communication or earlier communications from the examiner should be directed to Scott M. Klinger whose telephone number is (703) 305-8285. The examiner can normally be reached on M-F 7:00am - 3:30pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Glenn Burgess can be reached on (703) 305-4792. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Scott M. Klinger  
Examiner  
Art Unit 2153

smk

  
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